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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:

Date: March 16, 2006 Name: Scott A. Timmerman Signature: *Scott Timmerman*

**BRINKS  
HOFFER  
GILSON  
& LIONE**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Re Appln of: Neal Brady et al.

U.S. Patent Application Serial  
No.: 10/726,851

U.S. Filing  
Date: December 2, 2003

For: METHOD AND SYSTEM FOR PROVIDING  
OPTION SPREAD INDICATIVE QUOTES

Attorney Docket No: 4672/369

Examiner: Hamilton, L.  
Group Art Unit: 3624

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL**

Sir:

**Attached is/are:**

- ☒ Third Supplemental Information Disclosure Statement, and Form 1449 and sixteen (16) copies of references
- ☒ Return Receipt Postcard

**Fee calculation:**

- ☐ No additional fee is required.
- ☐ Small Entity.
- ☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_ ( )-month extension of time under 37 C.F.R. § 1.136(a).
- ☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_\_).
- ☐ An additional filing fee has been calculated as shown below:

		Small Entity			Not a Small Entity		
	Claims Remaining After Amendment	Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate
Total	Minus			x \$25=			x \$50=
Indep.	Minus			x \$100=			x \$200=
First Presentation of Multiple Dep. Claim				+ \$180=			+ \$360=
				Total	\$		Total

**Fee payment:**

- ☐ A check in the amount of \$\_\_\_\_\_ to cover the above-identified fee(s) is enclosed.
- ☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.
- ☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

*Scott Timmerman*  
Scott A. Timmerman (Reg. No. 56,678)

March 16, 2006

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.H./

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**THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(b), Applicants hereby cite the following reference(s):

No.	Date of Publication	Patentee/Applicant/Assignee
2003/10093343	05/2003	Huttenlocher et al.
6,539,362	03/2003	Patterson et al.
6,049,783	04/2000	Segal et al.
5,924,082	07/1999	Silverman et al.

**OTHER ART – NON PATENT LITERATURE DOCUMENTS**

Taulli, Tom. Investing in IPOs: Version 2.0. Bloomberg Press. Princeton. NH. 2001. pp. 40 – 41
Dalton, John M. How The Stock Market Works. New York Institute of Finance. Paramus. NJ. 1993. pp. 121 - 126 and 148
Curley, Michael T. & Walker, Joseph A. Barron's How To Prepare For The Stockbroker Examination Series 7. 2nd Edition. Barron's Educational Series. Hauppauge, NY. 2000. p. 181
Kraynak, Joe. The Complete Idiot's Guide to PCs. 8th Edition. Alpha Books. September 1, 2001. pp. 186 – 187
Jennings, Nicholas R. & Woolridge, Michael J. Agent Technology. Springer. Heidelberg, NY. April 1, 2000. pp. 25 - 26 and 267 – 268
The Options Institute. Options: Essential Trading Concepts & Trading Strategies. McGraw-Hill. 1999. pp. 117 – 118
O'Hara, Maureen. Market Microstructure Theory. Blackwell Publishing Ltd. Malden MA. 1997. pp. 7 – 9
Angel, James J., Gastineau, Gary L. & Weber, Clifford J. Equity Flex Options: The Financial Engineer's Most Versatile Tool. Frank J. Fabozzi Associates. New Hope, PA. 1999. pp. 67 – 68

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.H./

Williams, Michael S. & Hoffman, Amy. Fundamentals of the Options Market. McGraw-Hill Companies. New York, NY. 2001. pp. 4-5, 56-58 and 87-89
Turner, Martyn. The practical side of currency option dealing. Euromoney Treasury Manager. London, England. November 5, 1993. p. 15
Sales, Robert. Futures vet sees homogenized order-entry and execution in crystal ball. Wall Street & Technology. New York, NY. vol. 18, iss. 7. July 2000. p. 126
Turban, Efraim, McLean, Ephraim & Wetherbe, James. Information Technology for Management: Improving Quality and Productivity. John Wiley & Sons. 1996. pp. 237 and 310
Chance, Don M. An Introduction to Derivatives: 4th Edition. The Dryden Press, Harcourt Brace & Company. Orlando, Florida. 1998. pp. 5, 243 and 498
Crawford, William B. Globex trading network ready for takeoff futures markets here could be recast. Chicago Tribune. Chicago, Illinois. June 21, 1992. p. 1
Cooper, Alan. About Fare: The Essentials of User Interface Design. IDG Books Worldwide. Foster City, CA. 1995. p. 203
Murray, Rob. Money-Go-Round: 'Best price' share trading from Barclays. The Daily Telegraph. London, UK. November 21, 1998. p. 9

Applicants are enclosing Form PTO-1449 (two sheets), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R. §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

Applicants have calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

Respectfully submitted,

March 16, 2006  
Date

  
Scott A. Timmerman (Reg. No. 55,678)



FORM PTO-1449	SERIAL NO. 10/726,851	CASE NO. 4672/369
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE 12/02/2003	GROUP ART UNIT 3624
(use several sheets if necessary)		
APPLICANT(S): Neal Brady et al.		

# REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1 2003/10093343	05/2003	Huttenlocher et al.		
	A2 6,539,362	03/2003	Patterson et al.		
	A3 6,049,783	04/2000	Segal et al.		
	A4 5,924,082	07/1999	Silverman et al.		

# FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO

EXAMINER  
INITIAL

# OTHER ART - NON PATENT LITERATURE DOCUMENTS

(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.

A5	Taulli, Tom. Investing in IPOs: Version 2.0. Bloomberg Press. Princeton. NH. 2001. pp. 40 - 41
A6	Dalton, John M. How The Stock Market Works. New York Institute of Finance. Paramus. NJ. 1993. pp. 121 - 126 and 148
A7	Curley, Michael T. & Walker, Joseph A. Barron's How To Prepare For The Stockbroker Examination Series 7. 2nd Edition, Barron's Educational Series. Hauppauge, NY. 2000. p. 181.
A8	Kraynak, Joe. The Complete Idiot's Guide to PCs. 8th Edition. Alpha Books. September 1, 2001. pp. 186 - 187
A9	Jennings, Nicholas R. & Woolridge, Michael J. Agent Technology. Springer. Heidelberg, NY. April 1, 2000. pp. 25 - 26 and 267 - 268
A10	The Options Institute. Options: Essential Trading Concepts & Trading Strategies. McGraw-Hill. 1999. pp. 117 - 118
A11	O'Hara, Maureen. Market Microstructure Theory. Blackwell Publishing Ltd. Malden MA. 1997. pp. 7 - 9
A12	Angel, James J, Gastineau, Gary L & Weber, Clifford J. Equity Flex Options: The Financial Engineer's Most Versatile Tool. Frank J. Fabozzi Associates. New Hope, PA. 1999. pp. 67 - 68
A13	Williams, Michael S. & Hoffman, Amy. Fundamentals of the Options Market. McGraw-Hill Companies. New York, NY. 2001. pp. 4-5, 56-58 and 87-89
A14	Turner, Martyn. The practical side of currency option dealing. Euromoney Treasury Manager. London, England. November 5, 1993. p. 15

EXAMINER: Palita Hamilton/ (03/30/2008)

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.H./

FORM PTO-1449	SERIAL NO. 10/726,851	CASE NO. 4672/369
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	FILING DATE 12/02/2003	GROUP ART UNIT 3624
(use several sheets if necessary)		APPLICANT(S): Neal Brady et al.

A15	Sales, Robert. Futures vet sees homogenized order-entry and execution in crystal ball. Wall Street & Technology. New York, NY. vol. 18, iss. 7. July 2000. p. 126
A16	Turban, Efraim, McLean, Ephraim & Wetherbe, James. Information Technology for Management: Improving Quality and Productivity. John Wiley & Sons. 1996. pp. 237 and 310
A17	Chance, Don M. An Introduction to Derivatives: 4th Edition. The Dryden Press, Harcourt Brace & Company. Orlando, Florida. 1998, pp. 5,243 and 498
A18	Crawford, William B. Globex trading network ready for takeoff futures markets here could be recast. Chicago Tribune. Chicago, Illinois. June 21, 1992. p.1
A19	Cooper, Alan. About Fare: The Essentials of User Interface Design. IDG Books Worldwide. Foster City. CA. 1995. p. 203
A20	Murray, Rob. Money-Go-Round: 'Best price' share trading from Barclays. The Daily Telegraph. London, UK. November 21, 1998. p. 9

EXAMINER /Lalita Hamilton/ (03/30/2008)	DATE CONSIDERED
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